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05-13-05
Date

Joanne Bourguignon

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Ganapathy Krishnan and Scott Oyler
Application No. : 10/770,353
Filed : February 2, 2004
For : Method and System for Securely Incorporating Electronic
Information into an Online Purchasing Application
Docket No. : 35040.001C4
Date : May 13, 2005

COMMISSIONER FOR PATENTS
P.O. BOX 1450
ALEXANDRIA, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with 37 C.F.R. 1.97(b), applicants wish to make known to the Patent and Trademark Office the references set forth on the attached form PTO-1449 (copies of the nonpatent literature documents are enclosed). Although the aforesaid references are made known to the Patent and Trademark Office in compliance with applicants' duty to disclose all information they are aware of which is believed relevant to the examination of the above-identified application, applicants believe that their invention is patentable.

Please acknowledge receipt of this Information Disclosure Statement and kindly make the cited references of record in the above-identified application.

A fee of \$180 is submitted in accordance with 37 C.F.R. § 1.97(c). The Commissioner is authorized to charge any other fees which may be required, or credit any overpayment to Deposit Account No. 50-2976. A duplicate copy of this sheet is enclosed.

Respectfully submitted,
Ganapathy Krishnan and Scott Oyler
OLYMPIC PATENT WORKS LLC

Robert W. Bergstrom
Registration No. 39,906

05/16/2005 HAL111 00000110 502976 10770353
01 FC:1806 180.00 DA

Enclosures:

Postcard
Form PTO-1449 (30 pages)
Cited References

MAY 13 2005

PTO/SB/08A (08-03)

Approved for use through 07/31/2006. OMB 0651-0031

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Sheet	1	of	30
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Complete if Known

Application Number	10/770,353
Filing Date	02/02/2004
First Named Inventor	Ganapathy Krishnan
Art Unit	3621
Examiner Name	John M. Winter
Attorney Docket Number	35040.001C4

U. S. PATENT DOCUMENTS

U. S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Document Number Number-Kind Code ² (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
/JW/		US- 3,996,449	12/07/1976	Attanasio et al.	
		US- 4,104,721	01/01/1978	Markstein et al.	
		US- 4,120,030	10/10/1978	Johnstone	
		US- 4,168,396	09/18/1979	Best	
		US- 4,183,085	01/08/1980	Roberts et al.	
		US- 4,246,638	01/20/1981	Thomas	
		US- 4,278,837	07/14/1981	Best	
		US- 4,471,216	09/11/1984	Herve	
		US- 4,513,174	04/23/1985	Herman	
		US- 4,523,271	06/11/1985	Levien	
		US- 4,525,599	06/25/1985	Curran et al.	
		US- 4,558,176	12/10/1985	Arnold et al.	
		US- 4,562,305	12/31/1985	Gaffney, Jr.	
		US- 4,562,306	12/31/1985	Chou et al.	
		US- 4,577,289	03/18/1986	Comerford et al.	
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		US- 4,599,489	07/08/1986	Cargile	
		US- 4,609,777	09/02/1986	Cargile	
		US- 4,609,985	09/02/1986	Dozier	

FOREIGN PATENT DOCUMENTS

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Sheet 2 of 30**Complete if Known**

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/JW/		US- 4,621,321	11/04/1986	Boebert et al.	
		US- 4,621,334	11/04/1986	Garcia	
		US- 4,633,388	12/30/1986	Chiu	
		US- 4,644,493	02/17/1987	Chandra et al.	
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		Number-Kind Code ³ (if known)			
JW	US	5,497,421	03/05/1996	Kaufman et al.	
	US	5,537,314	07/16/1996	Kanter	
	US	5,537,546	07/16/1996	Sauter	
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	US	5,555,244	09/10/1996	Gupta et al.	
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Sheet 4

of 30

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First Named Inventor	Ganapathy Krishnan
Art Unit	3621
Examiner Name	John M. Winter
Attorney Docket Number	35040.001C4

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JW/		Number-Kind Code ² (if known)			
	US	6,067,582	05/23/2000	Smith et al.	
	US	6,108,784	08/22/2000	Seidensticker, Jr.	
	US	6,145,056	11/07/2000	Heydon et al.	
	US	6,151,643	11/21/2000	Cheng et al.	
	US	6,189,146	02/13/2001	Misra et al.	
	US	6,216,175	04/10/2001	Sliger et al.	
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	US	4,471,216	09/11/1984	Herve	
	US	4,513,174	04/23/1985	Herman	

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Sheet 5 of 30**Complete if Known**

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	US-	4,558,176	12/10/1985	Arnold et al.	
	US-	4,562,305	12/31/1985	Gaffney, Jr.	
	US-	4,562,306	12/31/1985	Chou et al.	
	US-	4,577,289	03/18/1986	Comerford et al.	
	US-	4,598,288	07/01/1986	Yarbrough et al.	
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	US-	4,609,777	09/02/1986	Cargile	
	US-	4,609,985	09/02/1986	Dozier	
	US-	4,621,321	11/04/1986	Boebert et al.	
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V	US-	5,014,234	05/07/1991	Edwards, Jr.	
	US-	5,291,598	03/01/1994	Grundy	
	US-	5,724,425	03/03/1998	Chang et al.	
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		Country Code ³ Number ⁴ Kind Code ⁶ (if known)				
		WO 98/58306 A1	12/23/1998	TECHWAVE, INC.		

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Sheet	6	of	30
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NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
/JW/		PREKH, Michael K., et al., "RealNetworks, Inc., Leading Media Delivery for the Digital Age," January 31, 2000	
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		SANDHU, Ravi S., et al., "On Testing for Absence of Rights in Access Control Models," June 14, 1994	
		ZURKO, Mary Ellen, et al., "Attribute Support for Inter-Domain Use," June 15, 1993	
↓		SANDHU, Ravi et al., "A Secure Kernelized Architecture for Multilevel Object-Oriented Databases," IEEE June 16, 1992	

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Sheet	7	of	30
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NON PATENT LITERATURE DOCUMENTS

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/JW/		PICCIOTTO, Jeffrey et al., "Extended labeling policies for enhanced application support," IEEE, June 18, 1991	
		BORN, Eike et al., "Discretionary access control by means of usage conditions," Computers & Security, Vol. 13, No 5, 1994	
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**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

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Complete if Known

Application Number	10/770,353
Filing Date	02/02/2004
First Named Inventor	Ganapathy Krishnan
Art Unit	3621
Examiner Name	John M. Winter
Attorney Docket Number	35040.001C4

Sheet 8 of 30

NON PATENT LITERATURE DOCUMENTS

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/JW/		RUSSELL, S., "Planning for the EDI of Tomorrow Using Electronic Document Authorization," Computer Security, ESORICS 92, Nov. 23, 1992	
		LIN, Ping., "The Encapsulated Security Services Interface (ESSI)," Computer Security, May 12, 1993	
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		SEBES, John E., "Overview of the Architecture of Distributed Trusted Mach," Mach Symposium	
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/JW/		HARRIS, Jed, et al., "Bento Specification," Apple Computer, Inc., July 15, 1993	
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Sheet 10

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Art Unit	3621
Examiner Name	John M. Winter
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/JW/		HAUSER, Ralf C., "Does Licensing Require New Access Control Techniques?", August 12, 1993	
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Sheet 11

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Art Unit	3621
Examiner Name	John M. Winter
Attorney Docket Number	35040.001C4

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/JW/		OLIVER, M.S. et al., "Building a Secure Database Using Self-Protecting Objects," Computers & Security, Vol. 11, No. 3, 1992	
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/JW/		"Higraeve Ships Secure Version of HyperACCESS/5," RSA Security, January 12, 1994	
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		THOMPSON, Ken., "Reflections on Trusting Trust," Communication of the ACM, Vol. 27, No. 8, August 1984	
↓		BERTINO, Elisa, "Data Hiding and Security in Object-Oriented Databases," IEEE, 1992	

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Attorney Docket Number	35040.001C4

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/JW/		TANNENBAUM, Todd, "Netscape Surfs the WorldWide Web Better Than Mosaic," Network Computing	
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/JW/		MOFFETT, Jonathan, et al., "SpecifyingDiscretionary Access Control Policy for Distributed Systems," Computer Communications, Vol. 13, No. 9, Nov. 1990	
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Art Unit 3621

Examiner Name John M. Winter

Attorney Docket Number 35040.001C4

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/JW/		STRACK, Hermann, "Extended Access Control in UNIX System V-ACLs and Context," European Institute for System Security	
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**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

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Complete if Known

Application Number	10/770,353
Filing Date	02/02/2004
First Named Inventor	Ganapathy Krishnan
Art Unit	3621
Examiner Name	John M. Winter
Attorney Docket Number	35040.001C4

Sheet **17** of **30****NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
/JW/		BALDWIN, Robert W., "Naming and Grouping Privileges to Simplify Security Management in Large Databases," IEEE May 7, 1990	
		KEEFE, T.F., et al., "Multiversion Concurrency Control for Multilevel Secure Database Systems," IEEE May 7, 1990	
		DOWNS, Deborah, D., et al., "Issues in Discretionary Access Control," Security and Privacy Symposium, April 22, 1985	
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		PURDY, George B., et al., "A Software Protection Scheme," IEEE 1982	
		MAUDE, Tim, et al., "Hardware Protection Against Software Piracy," Communications of the ACM, Vol 27, No. 9, Sept. 1984	
↓		LIPSON, Steve, "Little black box 'blocks' illicit software copying"	

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/JW/		ESKICIOGLU, Almet M., et al., "An overview of multimedia content protection in consumer electronics devices," Purdue University,	
		SANDHU, Ravi S., et al., "Implementation Considerations for the Typed Access Matrix Model in a Distributed Environment," Nat. Computer Security Conf., Oct. 1992	
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Art Unit 3621

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/JW/		ARNEKE, David et al., "AT&T encryption system protects information services," AT&T, January 9, 1995	
		Department of Defense Standard, "Department of Defense Trusted Computer system Evaluation Criteria," Dec. 26, 1995	
		Neuman, B. Clifford, "Proxy-Based Authorization and Accounting for Distributed Systems," 13th International Conference on Distributed Computing Systems, May 1993	
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		BIRRELL, Andrew D., "A Global Authentication Service without Global Trust," Digital Equipment Corporation, IEEE April 1986	
		GASSER, Morrie, et al., "The Digital Distributed System Security Architecture," Digital Equipment Corp., National Computer Security Conf. 1989	
		ABADI, M., "Authentication and Delegation with Smart-cards," Digital Equipment Corporation	
		Coalition for Networked Information, Nov. 21, 1991	
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✓		THOMAS, Roshan K., "Implementing the Message Filter Object-Oriented Security Model without Trusted Subjects," George Mason University, Aug. 19, 1992	

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/JW/		GRAUBARI, Richard, "A Comparison of Three Secure KBMS Architectures," DATABASE SECURITY, 1990	
		KRISTOL, David M., et al., "Anonymous Internet Mercantile Protocol," AT&T Bell Laboratories, March 17, 1994	
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		FRANKLIN, Matthew et al., "An Overview of Secure Distributed Computing," Columbia University and Tel Aviv University, March 24, 1992	
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		BISHOP, Matt, "Privacy-Enhanced Electronic Mail"	
		BISHOP, Matt, "Anatomy of a Proactive Password Changer," Department of Mathematics and Computer Science, Dartmouth College	
		WELSH, Dominic, "Codes and Cryptography," Oxford Science Publications	
		CARROLL, John M., "Computer Security," Butterworth Publishers, 1987	

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet 21

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Application Number 10/770,353
Filing Date 02/02/2004
First Named Inventor Ganapathy Krishnan
Art Unit 3621
Examiner Name John M. Winter
Attorney Docket Number 35040.001C4

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Sheet 22

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Application Number	10/770,353
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First Named Inventor	Ganapathy Krishnan
Art Unit	3621
Examiner Name	John M. Winter
Attorney Docket Number	35040.001C4

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/JW/		FEIERTAG, Richard J., et al., "The foundations of a provably secure operating system (PSOS), SRI International, AFIPS Press, 1979	
		DENNING, Adam, "Ole Controls Inside Out," Microsoft Press	
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		STAMOS, James W., et al., "Remote Evaluation," ACM Transactions on Programming Languages and Systems, Vol. 12, No. 4, Oct. 1990	

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		JUL, Eric, et al., "Fine-Grained Mobility in the Emerald System," University of Washington, ACM Transactions on Computer systems, Vol. 6, No. 1, Feb. 1988	
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↓		FERRAILOLO, David, "Role-Based Access Control," Computer Security Conf. 1992	

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STATEMENT BY APPLICANT**

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Complete if Known

Application Number	10/770,353
Filing Date	02/02/2004
First Named Inventor	Ganapathy Krishnan
Art Unit	3621
Examiner Name	John M. Winter
Attorney Docket Number	35040.001C4

Sheet

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NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
/JW/		HARDY, Norman, "The Keyko Architecture," Key Logic, Sept. 1985	
		MILLER, S.P., et al., "Kerberos Authentication and Authorization System," MIT, Oct. 27, 1988	
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		DENNING, Dorothy, E., et al., "KEY ESCROWING TODAY," Georgetown University, 1994	
		BRICKELL, Ernest F., et al., "The SKIPJACK Algorithm," BBN Communications Corp., July 28, 1993	
		BLAZE, Matt., "Key Managemnt in Encrypting File System," AT&T Bell Laboratories	
		WOO, Thomas Y.C., et al., "A Framework for Distributed Authorization," University of Texas at Austin, Nov. 1993	
↓		ROBINSON, D. et al., "Encoding Header Field for Internet Messages," Prime Computer, Inc., April 1990	

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		DAVIN, J., et al., "SNMP Administrative Model," MIT, July 1992	
		GALVIN, J., et al., "SNMP Security Protocols," MIT, July 1992	
		MCCLOGHRIE, K., et al., "Definitions of Managed Objects for Administration of SNMP Parties," Hughes LAN Systems, Inc. July 1992	
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		CASE, J., "A Simple Network Management Protocol," SNMP Research, May 1990	
		COLLBERG, Christian S., et al., "Watermarking, Tamper-Proofing, and Obfuscation - Tools for Software Protection," University of AZ., Feb. 10, 2000	
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/JW/		WINSLOW, Ron, "For Software Firms, Question is how to cope with Piracy," The Wall Street Journal, April 12, 1985	
		SIMMONS, Gustavus J., "How to Selectively Broadcast a Secret," Sandia National Laboratories, IEEE 1985	
		PURDY, George B. et al., "A software Protection Scheme," IEEE, 1982	
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		"Commercial Security Requirements for Multi-User Operating Systems," NIST, Issue 1.1, January 1993	
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		IOANNIDIS, John, et al., "The Architecture and Implementation of Network-Layer Security Under Unix," Columbia University	
↓		HANSEN, Stephen E., "automated system Monitoring and Notification with Swatch," Nov. 1, 1993	

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/JW/		BELLOVIN, Steven M., "There Be Dragons," UNIX Security Symposium, Aug. 1992	
		HALLER, Neil M., "The S/Key One-Time Password System," Bellcore	
		Varadhan, Kannan, "OARnet Security Procedures," OARnet, Spet. 15, 1992	
		BELLOVIN, Steven M. et al., "Augmented Encrypted key Exchange: a Password-Based Protocol Secure Against Dictionary Attacks and Password File Compromise," Bell Labs	
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		BRANDS, Stefan., "Untraceable Off-Line Cash in Wallets with Observers"	
		WHITE, James, E., "Mobile Agents," Aug. 8, 1995	
		TARDO, Joseph et al., "Mobile Agent Security and Telescript," General Magic, Inc.	
↓		KOHL, John., "The Kerberos Network Authentication Service," MIT, June 30, 1991	

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/JW/		MEYER, Carl H., et al., "Cryptography: A New Dimension in Computer Data Security," 1982	
		MENEZES, Alfred J., "Handbook of Applied Cryptography," 1965	
		PRESS, Larry., "National Information Infrastructures: The Internet and Interactive Television," Conf., on The Electronic Highway, University of Montreal, 1994	
		"Policy and Technology: Partners in Solutions," 19th National Information systems Security Conference, Oct. 22, 1996	
		HALFHILL, Tom R., et al., "Just Like Magic?" February 1994	
		CLARK, Jim, "A TeleComputer," Computer Graphics, Vol. 26, July 2, 1992	

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